

FORM PTO-1390
(REV 10-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

103140-5PCT

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/719430

INTERNATIONAL APPLICATION NO.
PCT/US00/10535INTERNATIONAL FILING DATE
19 April 2000(19.04.00)PRIORITY DATE CLAIMED
April 23, 1999(23.04.99)TITLE OF INVENTION
WORKPIECE AUTHENTICATION BASED UPON ONE OR MORE WORKPIECE IMAGES

APPLICANT(S) FOR DO/EO/US

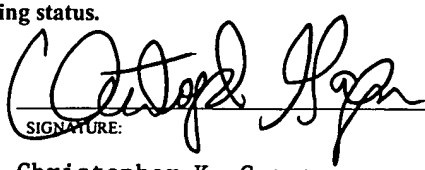
SMITH, Joshua R.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 16 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
 1. PCT/RO/101
 2. PCT/IPEA/401
 3. PCT/1B/308
 4. PCT International Search Report

U.S. APPLICATION NO. (if known, see 37 CFR 1.57) 09/719430		INTERNATIONAL APPLICATION NO. PCT/US00/10535		ATTORNEY'S DOCKET NUMBER 103146-SPCT	
17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY <div style="border: 1px solid black; height: 150px; width: 100%;"></div>	
				ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	83 - 20 =	63	X \$18.00	\$ 1,134.00	
Independent claims	4 - 3 =	1	X \$80.00	\$ 80.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$ 2,074.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$ 2,074.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$ 2,074.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$ 2,074.00	
				Amount to be refunded:	\$
				charged:	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$2,074.00 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 031237 . A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: Christopher K. Gagne 88 Black Falcon Avenue Boston, MA 02210					
 SIGNATURE: Christopher K. Gagne NAME 36,142 REGISTRATION NUMBER					

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

Complete If Known

Application Number	Yet to be assigned
Filing Date	Herewith
First Named Inventor	Joshua R. Smith
Examiner Name	Not Yet Assigned
Group / Art Unit	Not yet assigned
Attorney Docket No.	103140-0005PCT

TOTAL AMOUNT OF PAYMENT (\$) 2,074

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number
 Deposit Account Name

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. §§1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	710 201	35		Utility filing fee	
106	320 206	160		Design filing fee	
107	490 207	245		Plant filing fee	
108	710 208	355		Reissue filing fee	
114	150 214	75		Provisional filing fee	
SUBTOTAL (1) (\$)					0

2. EXTRA CLAIM FEES

Total Claims - 20** = x =
 Independent Claims - 3** = x =
 Multiple Dependent =

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18 203	9		Claims in excess of 20
102	80 202	40		Independent claims in excess of 3
104	270 204	135		Multiple dependent claim, if not paid
109	80 209	40		**Reissue independent claims over original patent
110	18 210	9		**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 1,214

FEE CALCULATION (continued)


3. ADDITIONAL FEES

Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	130 205	65		Fee Surcharge - late filing fee or oath	
127	50 227	25		Surcharge - late provisional filing fee or cover sheet	
139	130 139	130		Non-English Specification	
147	2,520 147	2,520		For filing a request for reexamination	
112	920 112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840 113	1,840*		Requesting publication of SIR after Examiner action	
115	110 215	55		Extension for reply within first month	
116	390 216	195		Extension for reply within second month	
117	890 217	445		Extension for reply within third month	
118	1,390 218	695		Extension for reply within fourth month	
128	1,890 128	945		Extension for reply within fifth month	
119	310 219	155		Notice of Appeal	
120	310 220	155		Filing a brief in support of an appeal	
121	270 221	135		Request for oral hearing	
138	1,510 138	1,510		Petition to institute a public use proceeding	
140	110 240	55		Petition to revive - unavoidable	
141	1,240 241	620		Petition to revive - unintentional	
142	1,240 242	620		Utility Issue fee (or reissue)	
143	440 243	220		Design Issue fee	
144	600 244	300		Plant Issue fee	
122	130 122	130		Petitions to the Commissioner	
123	50 123	50		Petitions related to provisional applications	
126	240 126	240		Submission of Information Disclosure Stmt	
581	40 581	40		Recording each patent assignment per property (times number of properties)	
146	710 246	355		Filing a submission after final rejection (37 CFR 1.129(a))	
149	710 249	355		For each additional invention to be examined (37 CFR 1.129(b))	
Other (specify) Basic National Fee					860
Other fee (specify)					
SUBTOTAL (3) (\$)					860

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Complete (if applicable)

Typed or Printed Name	Christopher K. Gagne	Reg. Number	36,142
Signature		Date	December 12, 2000
		Deposit Account User ID	

JG01 Rec'd PCT/PTO 12 DEC 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:)	
Joshua R. Smith)	
)	
Serial No.: Yet to be assigned)	Examiner: Not Yet Assigned
)	
Filed: Herewith)	
)	Art Unit: Not yet assigned
For: WORKPIECE AUTHENTICATION)	
BASED UPON ONE OR MORE)	
WORKPIECE IMAGES)	
)	
		Cesari and McKenna, LLP
		88 Black Falcon Avenue
		Boston, MA 02210
		December 12, 2000

EXPRESS-MAIL DEPOSIT

"Express Mail" Mailing-Label Number: EL 705596147US

The following papers are being deposited with the United States Postal Service
"Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. §1.10:

<u>X</u> Patent Application (42 pages including 83 claims)	
<u>X</u> Declaration and Power of Attorney	<u>X</u> Fee Transmittal Letter
<u>X</u> (DO/EO/US) Transmittal Letter	<u>X</u> Formal Drawings (7 sheets)
<u>X</u> Check No. 21373 for \$2,074.00	<u>X</u> Information Disclosure Statement
<u>X</u> PTO-1449 and Copies of References	<u>X</u> PCT/IPEA/401
<u>X</u> PCT/RO/101	<u>X</u> PCT/IB/308